

11/16/00  
JCS71 U.S. PTO

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I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington, DC 20231.

Name:

Signature:

CAROL FELENSTEIN

Carol Felenstein  
Clifford Chance Rogers & Wells LLP

JCS71 U.S. PTO  
09/714315

11/16/00

Docket No. 3499-91

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS  
BOX PATENT APPLICATION  
Washington, DC 20231

Sir:

Transmitted herewith for filing is a utility patent application

Of: Sharon Greener, Mark Higgins, Effie Higgins, Paul Young, Dan Rothman, John Godfrey, Mel Gunewardena

For: **AUTOMATED ONLINE SALES RISK MANAGEMENT SYSTEM**

ENCLOSED are the following:

1. ☒ Specification, abstract and claims (35 pages)
2. ☒ 7 sheets of ☐ formal ☒ informal drawings (Figs. 1-8)  
Suggested Figure for Publication: \_\_\_\_\_
3. ☐ Declaration  
☐ signed ☒ unsigned  
☐ Copy from a prior application (for continuation/divisional)
4. ☐ Application Data Sheet
5. ☐ Preliminary Amendment
6. ☐ Information Disclosure Statement and PTO-1449
7. ☐ Assignment and Assignment Recordation sheet (*Fee calculated separately*)
8. ☐ Other:

**NOTE the following:**

9. ☐ This application is made under 37 C.F.R. § 1.53 (b) and is a  
☐ Continuation ☒ Continuation-In-Part ☐ Divisional  
of Application Serial No. 09/702,956 filed October 31, 2000
10. ☐ An Extension of Time is filed concurrently herewith for the parent application.
11. ☐ The prior application is assigned to: Goldman Sachs & Co. The assignment was recorded on  
\_\_\_\_\_ at reel \_\_\_\_\_ and frame \_\_\_\_\_.

12. ☐ Cancel claims            prior to calculation of the filing fee.
13. Small Entity Status:  
☐ Applicant is a small entity  
☐ Small entity status claimed in the parent application is no longer proper
14. ☐ Applicants claim priority from the following applications(s) under 35 U.S.C. § 119:

Serial Number                      Country                      Filing Date                      Certified Copy Encl.

**FILING FEE:** calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

Basic Filing Fee			\$ 710.00
Total No. Claims 59	Extra Claims (Total - ) 39	fee / claim \$18	360.00
Total No. Independent Claims 17	Extra Independ. (No. - ) 14	fee / claim \$80	1120.00
Multiple Dependent Claim?                      add \$270			\$ 0.00
<b>Sub-Total</b>			2190.00
Small Entity?                      less 50%			
<b>TOTAL FEE DUE</b>			2190.00

15. ☐ A check in the amount of \$            is enclosed (must at least cover the basic fee).  
☒ The Commissioner is authorized to charge \$ in connection with this communication to Deposit Account No. 50-0521.

In the event that a petition for extension of time is required to be submitted in the pending prior application, and in the event that a separate petition for the pending prior application is not filed on even date, applicant hereby petitions under 37 C.F.R.1.136(a) for an extension of time in the pending prior application of as many months as are required to render this submission timely. The Commissioner is authorized to charge any fees due in connection with such a petition to Deposit Account No. 50-0521.

The Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 50-0521.

A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: November 16, 2000

J.P. Kincart  
Joseph P. Kincart  
Reg. No. 43,716

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